



CF-72

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Timothy H. Heaton
Application No.: 10/661,763 Confirmation No.: 8158
Filed : September 11, 2003
For : GRAPHICAL USER INTERFACE RELATED TO NON-
STANDARD TRADING OF FINANCIAL INSTRUMENTS
Group Art Unit : 3621

New York, New York
August 19, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This Statement
is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application
filing date but before the mailing date of the
first Office Action on the merits.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BKS/

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

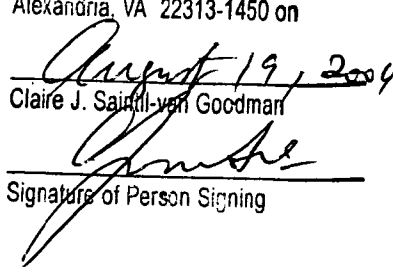
Respectfully submitted,



Hassan Albakri
(Limited Recognition)
Agent for Applicant
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I hereby certify that this
Correspondence is being
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Postal Service as First
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Addressed to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450 on

August 19, 2004
Claire J. Sainfil-von Goodman


Signature of Person Signing



JFw

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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98,
applicant wishes to call the attention of the Examiner to the
following documents:

U.S. PATENT DOCUMENTS

Molinari et al.	6,016,482	Jan. 18, 2000
Belzberg	6,134,535	Oct. 17, 2000
Finkelstein et al.	2001/0037284 A1	Nov. 01, 2001
Zajac	2002/0120546 A1	Aug. 29, 2002

The aforementioned documents are listed on the
accompanying Form PTO-1449 (submitted in duplicate).

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BKS/

Applicant requests that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

In addition, applicant wishes to call the attention of the Examiner to the following U.S. patent applications:

Kirwin et al.	No. 09/745,651	Dec. 22, 2000
Ginsberg et al.	No. 09/846,025	Apr. 30, 2001
Gilbert et al.	No. 09/982,709	Oct. 18, 2001
Gilbert et al.	No. 10/144,695	May 10, 2002
Lutnick et al.	No. 10/147,269	May 14, 2002
Lutnick et al.	No. 10/699,859	Oct. 31, 2003

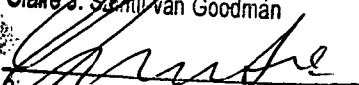
Copies of the aforementioned documents are enclosed herewith. It is respectfully requested that these documents be fully considered by the Patent and Trademark Office during examination of this application.

Respectfully submitted,



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New York, New York
August 19, 2004

Commissioner for Patents
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Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

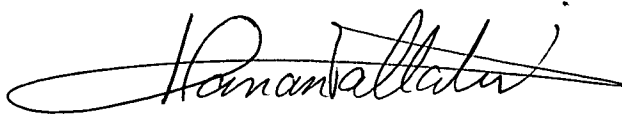
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In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

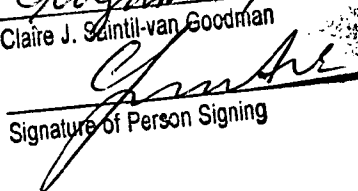
Respectfully submitted,



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August 19, 2004
Claire J. Santil-van Goodman


Signature of Person Signing



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE
STATEMENT BY APPLICANTATTY. DOCKET NO.
CF-72APPLICATION
NO.
10/661,763

APPLICANTS

Timothy H. Heaton

CONFIRMATION
NO.
8158

FILING DATE

September 11, 2003

GROUP

3621

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/BKS/	6,016,482	01/18/2000	Molinari et al.	705	35	
/BKS/	6,134,535	10/17/2000	Belzberg	705	37	
/BKS/	2001/0037284 A1	11/01/2001	Finkelstein et al.	705	37	
/BKS/	2002/0120546 A1	08/29/2002	Zajac	705	37	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

EXAMINER

/Bijendra K. Shrestha/

DATE CONSIDERED

08/30/2009

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BKS/